

## In the United States Patent and Trademark Office

Serial Number: 10/032,535

Appn. Filed: 01/02/2002

Applicant(s): John Shaw et al.

Appn. Title: Method and System for Facilitating Secure Transactions

Examiner/GAU: Harbeck, Timothy / 3628

**Declaration of Steven Levy**

I, STEVEN LEVY, being over the age of eighteen and competent to testify, make the following declaration:

1. In 1991 I co-founded The Macgregor Group, a company specializing in order management systems (OMS) for the securities industry. I was President and CEO of the company until its recent sale. I have over 18 years experience in the business.
2. I hold a BS in Computer Science, a BS in Electrical Engineering and an MS in Computer Science from the Massachusetts Institute of Technology. I am a Chartered Financial Analyst and a member of the Boston Securities Analyst Society.
3. Since 1992, Macgregor has developed and provided order management systems for the securities industry.
4. I am very familiar with the order management systems offered by Macgregor and its competitors.
5. I have reviewed the SEC reference and the LIMITrader system discussed therein.

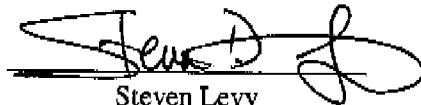
Appn. Number 10/032,535 (Shaw, John) GAU 3628 Declaration of Steven Levy

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6. The OMS's in existence as of May 1999 (the priority date for the subject patent application) were not configured for the features described in the SEC reference, i.e., non-automated bid or offer advice and market information, nor were they capable of handling such features without prior modification to the OMS offering. Said another way, users could not have obtained such assistance via an OMS, without first modifying the OMS offering to enable these features.

The undersigned being hereby warned that willful false statements and the like are punishable by fine or imprisonment, or both, under 18 U.S.C. §1001, and that such willful false statements and the like may jeopardize the validity of this document, declares that all statements made of his own knowledge are true and that all statements made on information and belief are believed to be true.

July 24, 2007  
Date

  
Steven Levy